



Anglia Ruskin
University

Senate Code of Practice on External Examiners for Taught Courses

Eleventh Edition
September 2016



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Foreword

This Senate Code of Practice is one of a series of Codes through which, in conjunction with other mechanisms, academic standards and quality of education at Anglia Ruskin University are maintained, assured and enhanced.

Each Code of Practice has been approved by the Senate for use throughout Anglia Ruskin and its UK and international Associate Colleges.

The complete set of Codes, as at September 2016, covers:

- Admissions
- The Assessment of Students
- Collaborative Provision
- Curriculum Approval and Review
- External Examiners for Taught Courses¹

The Codes are closely linked and share common elements of quality assurance policy and practice at Anglia Ruskin University. They should therefore be read as a set.

The Code is particularly intended for those staff, within Anglia Ruskin and its UK and international Associate Colleges, who have a curriculum management responsibility which includes the identification, appointment, induction and on-going contact with external examiners. These staff include Deans of Faculties, Deputy Deans (with responsibility for quality assurance) Heads and Deputy Heads of Department, Directors of Studies, Course Leaders, Module Leaders and senior management and administrative staff within Anglia Ruskin and its Associate Colleges.

Further copies of this Code of Practice are available on request from the Academic Office.

An electronic copy of this Code of Practice is available at: www.anglia.ac.uk/codes.

Paul Baxter
Director, Academic Office

September 2016

¹ First approved by the Senate on 15 January 2003. Subsequent revisions approved on: 16 June 2004, 19 January 2005, 11 July 2006, 23 April 2008, 19 November 2009, 24 June 2010 (to reflect revisions to the *Academic Regulations*), 22 June 2011, 25 April 2012 and 17 June 2015.

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1. Introduction

- 1.1 This Code of Practice has been approved by the Senate and is based on the expectation and indicators of good practice contained in Section B7 of the Quality Assurance Agency for Higher Education (QAA) UK Quality Code for Higher Education. It complements other Senate Codes of Practice for specific quality assurance activities including:
- Admissions;
 - The Assessment of Students;
 - Collaborative Provision;
 - Curriculum Approval & Review.
- 1.2 The Code of Practice applies equally to Anglia Ruskin University and its UK and international Associate Colleges.
- 1.3 The Senate is formally responsible for approving the appointment of external examiners for all modules and courses leading to an Anglia Ruskin award, including those courses delivered by UK and international Associate Colleges. The appointment of each external examiner is formally approved by the Deputy Vice-Chancellor (Academic) acting on behalf of the Senate and on the initial recommendation of the appropriate Dean of Faculty (following internal Faculty scrutiny) or Associate College operating under a validation arrangement (see the *Senate Code of Practice on Collaborative Provision*).

2. Purpose of External Examining

- 2.1 The purpose of the external examining system in UK higher education is the provision of informative comments and recommendations upon whether or not:
- “an institution is maintaining the threshold academic standards set for its awards in accordance with the frameworks for higher education;
 - the assessment process measures student achievement rigorously and fairly against the intended outcomes of the programme(s) and is conducted in line with the institution's policies and regulations
 - the academic standards and the achievements of students are comparable with those in other UK higher education institutions of which the external examiners have experience” (Indicator 2: QAA UK Quality Code for Higher Education Chapter B7 External Examining, 2011).

3. Anglia Ruskin’s Formal Requirements

- 3.1 External examiners are responsible to the Senate as the body which authorises conferment of Anglia Ruskin’s awards and to the Vice-Chancellor as Chair of the Senate.
- 3.2 External examiners are sent a formal letter of appointment by the Academic Office. The appointment is not confirmed until the external examiner returns a signed proforma, accepting the terms of the appointment. The appropriate Faculty, or in certain cases the Associate College, is responsible for continuing contact with the external examiner [*see paragraph 7.3 below for further details*].

- 3.3 External examiners are asked to report on whether the academic standards set by Anglia Ruskin University are at an appropriate level and to compare Anglia Ruskin's academic standards with those of similar provision at other UK higher education institutions. In making these evaluations external examiners are expected to draw on appropriate external reference points, including those published by Professional, Statutory and Regulatory Bodies (PSRBs) and the QAA.
- 3.4 External examiners are appointed to either:
- (a) a Departmental Assessment Panel (DAP)², as required by Anglia Ruskin's *Academic Regulations*. The Head of Department is responsible for ensuring that sufficient numbers of external examiners are nominated for appointment to the DAP to achieve adequate coverage of all modules for which the DAP is responsible. A minimum of one external examiner is appointed to each DAP
- OR;
- (b) the Anglia Ruskin Awards Board, as required by Anglia Ruskin's *Academic Regulations*. The Director of the Academic Office is responsible for ensuring that sufficient external examiners are nominated for appointment to the Awards Board and that all meetings of the Awards Board are adequately covered in terms of external examiner attendance. A minimum of one external examiner is appointed to the Awards Board.
- 3.5 No award of Anglia Ruskin University can be conferred without the attendance of at least one external examiner at the meeting of the Awards Board at which the decision to recommend an award is made (see paragraph 4.3.1 below). The external examiner is a full member of the Awards Board.
- 3.6 In certain cases (e.g. to satisfy the requirements of a PSRB) external examiners may be appointed, under the auspices of the Awards Board, to oversee the student review process. It may also be necessary for the Senate to appoint an external examiner who meets the requirements of a PSRB with respect to their experience and qualifications^{2a}.
- 3.7 Exceptionally, the functions of a DAP and the Awards Board may be combined into a single Assessment Board (or equivalent body) for courses which do not have a modular structure.
- 3.8 The outcomes of all DAPs and the Awards Board are formally endorsed by an external examiner before publication. An external examiner who exceptionally does not wish to endorse the outcomes, either in general or for a particular student, gives his/her reasons in a separate written report to the Vice-Chancellor in accordance with paragraph 8.2 below. Such cases are referred immediately to the Director of the Academic Office (or nominee) for further investigation.

² For Associate Colleges operating under a validation arrangement, external examiners are appointed to the Associate College's Modular Board (see *Senate Code of Practice on Collaborative Provision*) which acts in an equivalent capacity to the DAP

^{2a} For example, the Health & Care Professions Council (HCPC) requires, unless other arrangements are agreed, that the external examiner is from the relevant part of the HCPC's Register of Health Care Professionals

4. Role of External Examiners at Anglia Ruskin University

4.1 The role of an external examiner appointed by Anglia Ruskin to a DAP³ is to:

- 4.1.1 attend a minimum of one meeting each year and have access to all assessed work, including assessed work related to meetings which he/she is unable to attend. All external examiners appointed to a DAP are invited, and encouraged, to attend all meetings of the relevant DAP. Unforeseen circumstances may exceptionally prevent an external examiner from attending a meeting. If such circumstances arise a sufficient time in advance of the meeting an alternative external examiner is appointed to the DAP, if at all possible;
- 4.1.2 judge academic standards impartially on the basis of work submitted for assessment without being influenced by previous association with the staff or any of the students;
- 4.1.3 evaluate the performance and achievement of students in relation to their peers on comparable modules (or equivalent learning) at other UK higher education institutions;
- 4.1.4 approve the content of all assessment tasks for those modules which contribute towards the classification of students' individual awards (eg: examinations, coursework, presentations). For most awards the modules concerned are at level 5 or higher. For the awards of Cert HE, HNC, and HND, modules at level 4 contribute towards the classification of the award. In order to undertake this role, the external examiner is provided with a copy of the relevant Module Definition Form (MDF), module guide and assessment criteria, to enable an external examiner to assess their compatibility of the tasks with the module's intended learning outcomes, and their comparability with the standard of such tasks set on similar courses at other institutions. Preferably, all tasks are provided to the external examiner at the same time in order to allow the external examiner to make a judgement for the module in its entirety. However, there is a minimum requirement that non-examination based tasks are provided to the external examiner prior to the commencement of the module delivery. Draft examination papers are sent to external examiners at least four weeks prior to the date of intended use;
- 4.1.5 moderate samples of assessed work covering the full range of marks in order to ensure that appropriate standards of assessment are being maintained by Anglia Ruskin academic staff. For all modules in the assessment period for the initial assessment of a module's delivery (eg: Semester/Trimester 1), the sample to be considered in advance of meetings of the appropriate DAP is determined as follows:
 - (a) the sample comprises a minimum of eight items or 10% (whichever is the greater but not normally exceeding 20 items) of the assessed work for each assessment element contributing 25% or more of the overall assessment for a module;

³ Or Modular Board at an Associate College operating under a validation arrangement

- (b) samples are moderated on this basis for those modules which contribute towards the classification of students' individual awards. For most awards the modules concerned are at level 5 or higher. For the awards of Cert HE, HNC, HND and Cert Ed, modules at level 4 contribute towards the classification of the award. Therefore, in such cases a sample of assessed work for level 4 modules, undertaken by students registered for those awards, must be moderated by the appropriate external examiner;
- (c) the sample for each assessment element covers the full range of marks, including failures and borderline cases (where such examples exist);
- (d) the sample includes assessed work in Associate Colleges. Every location of delivery is represented within the sample;
- (e) assessed work selected for inclusion within the sample must include work which has been subject to internal moderation but may also include work which has not been internally moderated;
- (f) the minimum sample size may need to be exceeded to ensure effective external moderation (i.e. satisfying the minimum number of items of assessed work does not necessarily mean that all the criteria for a sample have been met);
- (g) all samples are accompanied by a full schedule of all marks achieved by all students enrolled on the relevant module(s) for all assessment methods and for all locations of delivery;
- (h) the Academic Office provides guidance on the workload that an external examiner can be expected to undertake (in terms of the moderation of assessed work) for receipt of the minimum annual fee per duty [see **Appendix 1**];
- (i) external moderation of assessed work at levels 5, 6 and 7 (and level 4 if contributing to the classification of an award) at the re-assessment point (eg: July for a Semester/Trimester 2 module) is not required unless:
 - the total number of pieces of work is 10 or more OR;
 - external moderation of the assessed work at the initial assessment point led to moderated marks OR;
 - concerns were expressed at the initial assessment point by the relevant external examiner about the assessment of the module OR;
 - the external examiner wishes to undertake moderation;
 - external moderation is required at all points by a PSRB.

If any of the above circumstances pertain, the standard requirements detailed above apply (see also the *Senate Code of Practice on the Assessment of Students*).

4.1.6 ensure that the assessments are conducted in accordance with Anglia Ruskin's *Academic Regulations*;

4.1.7 report annually on the effectiveness of the assessments and any lessons to be drawn from them, in accordance with policies determined by the Senate;

- 4.1.8 report to the appropriate external body, through the Chair of the Senate of Anglia Ruskin University, on any matters of serious concern arising from the assessments which put academic standards at risk;
 - 4.1.9 ensure that, where applicable, student placements or professional practice are conducted and assessed in accordance with the approved regulations;
 - 4.1.10 provide written comments, for the attention of the Senate's Curriculum Revisions Subcommittee and/or Faculty Quality, Enhancement & Standards Standing Committees⁴, on proposals for the introduction of new modules which fall within the remit of the DAP to which the external examiner has been appointed (such comments are presented in the form of answers to a series of standard questions relating to intended learning outcomes, content and assessment).
- 4.2 In addition, an external examiner for a DAP has the right to:
- 4.2.1 be informed of any proposed changes to the approved progression and assessment regulations which directly affect currently registered students;
 - 4.2.2 advise, if exceptionally requested to do so by the Head of Department, in cases of internal disagreement which remain unresolved;
 - 4.2.3 propose the adjustment of all marks awarded by Anglia Ruskin examiners for an element(s) within a module or the complete re-marking of all elements for a module taken by the same cohort of students but not to propose an adjustment to the marks of individual students for an element(s) within a module, unless all items of work for that element(s) completed by the same cohort of students have been considered by the external examiner;
 - 4.2.4 participate as required in any reviews of decisions about individual students taken during his/her period of office.
- 4.3 The role of an external examiner appointed to the Anglia Ruskin Awards Board is to:
- 4.3.1 attend a minimum of one meeting each year at which decisions on recommendations for awards are made, and ensure that those recommendations have been reached by means according with the requirements of the Senate and normal practice in higher education. All external examiners appointed to the Awards Board are invited, and encouraged, to attend all meetings of the Awards Board. No award of Anglia Ruskin University can be conferred without the attendance of at least one external examiner at the meeting of the Awards Board at which the decision to recommend an award is made (see paragraph 3.5 above). Unforeseen circumstances may exceptionally prevent an external examiner from attending a meeting. If such circumstances arise a sufficient time in advance of the meeting an alternative external examiner is appointed to the Awards Board, if at all possible;

⁴ Or an Associate College's Academic Board (or equivalent committee) for Associate Colleges operating under a validation arrangements (see *Senate Code of Practice on Collaborative Provision*)

- 4.3.2 judge the fairness of the Awards Board's decisions impartially without being influenced by previous associations with the awards, the staff, or any of the students;
 - 4.3.3 compare the regulations and procedures governing the determination of Anglia Ruskin awards with those of comparable awards in the UK;
 - 4.3.4 report annually on the effectiveness of the processes of the Awards Board;
 - 4.3.5 report to the appropriate external body, through the Chair of the Senate of Anglia Ruskin University, on any matters of serious concern arising from the assessments which put at risk the academic standard of an award.
- 4.4 In addition, an external examiner for the Awards Board has the right to:
- 4.4.1 be consulted on any proposed changes to the approved progression and assessment regulations which directly affect currently registered students;
 - 4.4.2 participate as required in any reviews of decisions about students' individual awards taken during his/her period of office.
- 4.5 Exceptionally, the roles of the external examiner for a DAP and the Awards Board may be combined for courses which do not have a modular structure.

5. Nomination and Approval Process

- 5.1 The appointment of all external examiners is formally approved by the Deputy Vice-Chancellor (Academic), acting on behalf of the Senate, on the recommendation of the relevant Dean of Faculty (following internal Faculty scrutiny) or Associate College operating under a validation arrangement (see *Senate Code of Practice on Collaborative Provision*). External examiner appointments are reported regularly to the Senate's Quality, Enhancement & Standards Committee (QESC) and the relevant Faculty Boards for information.
- 5.2 The period of appointment covers a maximum of four academic years (normally four years and four months) to facilitate the effective transfer of responsibilities between the incoming and outgoing external examiner(s), including those relating to the reassessment of students. The overlap period also provides the opportunity for appropriate induction arrangements to be made for an incoming External Examiner.
- 5.3 In exceptional circumstances an external examiner's appointment may be extended for an additional academic year (eg: where a course is being discontinued).
- 5.4 Anglia Ruskin and individual external examiners have the right to terminate the appointment by providing two months' written notice to the other party.
- 5.5 Nomination Forms used for the appointment of external examiners to a DAP or the Anglia Ruskin Awards Board, or the extension of external examiners' periods of office, are available at **www.anglia.ac.uk/qau**.
- 5.6 There is a timetable, commencing annually in January, for the nomination and approval of external examiners, details of which are contained in a flowchart (for Tier 1 (DAP) external examiners) [see **Appendix 2**].

- 5.7 The Head of Department (for DAP external examiners) and the Director of the Academic Office (for Awards Board external examiners) are responsible for identifying and nominating external examiners approximately nine months in advance of the proposed start date. Once identified, the proposed external examiner is asked to complete the appropriate form.
- 5.8 The Head of Department or Director of the Academic Office is responsible for ensuring that the nomination form is completed correctly and that CVs are attached to provide full and relevant information to support the nomination.
- 5.9 At an early stage in the nomination process the Head of Department or Director of the Academic Office identifies whether the proposed external examiner is familiar with, and prepared to work within, the context of a credit-based modular system, including a two-tiered assessment process. If the proposed external examiner is unclear about the implications of such a system, the Head of Department or Head of Quality Assurance briefs the nominee accordingly.
- 5.10 The Head of Department or Director of the Academic Office also identifies the nature of an induction programme required by the proposed external examiner if they have no previous external examining experience in higher education (or other comparable experience). In such circumstances the induction programme, agreed in consultation with the proposed external examiner, should be formally approved by the Dean of the Faculty in view of the likely resource implications (for DAP external examiners). Details of the induction programme should be included with the nomination form.
- 5.11 Once the nomination form for a DAP external examiner has been signed by the Head of Department, it is submitted for internal scrutiny by the Faculty to the Deputy Dean (with responsibility for quality assurance) who undertakes an analysis of the nomination against the appointment criteria set out in this Senate Code of Practice (paragraph 6.1 below) and provides the outcome of the analysis, together with the full nomination, to the Dean of Faculty.
- 5.12 If the Dean of Faculty approves the nomination, it is forwarded to the Quality Assurance Unit (QAU) of the Academic Office for consideration by the Deputy Vice-Chancellor (Academic), on behalf of the Senate. If the Dean of Faculty does not approve the nomination, either it can be considered again at a future date when any issues raised by the Dean of Faculty have been addressed or a new nomination is required. All nominations approved by the Dean of Faculty are reported to the next scheduled meeting of the Faculty Board.
- 5.13 Once the nomination form for an Awards Board external examiner has been signed by the Director of the Academic Office, it is submitted for consideration by the Deputy Vice-Chancellor (Academic), on behalf of the Senate.
- 5.14 On receipt of the approved nomination, the QAU considers the nomination against the appointment criteria set out in this Senate Code of Practice (paragraph 6.1 below).
- 5.15 The QAU forwards the complete nomination, together with an analysis of the nomination to the Deputy Vice-Chancellor (Academic) for consideration on behalf of the Senate.

- 5.16 If the proposed external examiner is approved by the Deputy Vice-Chancellor (Academic), a formal offer of appointment and Anglia Ruskin Briefing Pack is sent on behalf of Anglia Ruskin University from the Head of Quality Assurance.
- 5.17 On behalf of the Senate, the QESC receives a full list of all current external examiners at the first meeting of each academic year and an update on appointments made during the academic year at each subsequent meeting.

6. Appointment Criteria

- 6.1 In recommending external examiner appointments, the following criteria are considered:
- 6.1.1 external examiners should possess an appropriate level of academic and/or professional expertise and experience in relation to the subject area to be assessed [*NB: this normally means that external examiners are qualified to the level above that which they will be examining*]. This is likely to be reflected in their academic and/or professional qualifications and their current or recent engagement in research, scholarly or professional activity. In addition, in cases where the curriculum (or an element of it) is delivered in a language other than English the external examiner should normally be proficient in the language concerned;
- 6.1.2 external examiners should have current or recent experience of external examining in higher education or comparable experience (e.g. as an internal examiner or member of a professional committee) which demonstrates their competence to examine students in the proposed subject area at the appropriate level. In cases where a nominee does not possess such experience the Dean of the Faculty or Director of the Academic Office is required to provide details of specific training to be provided during the initial stage of appointment;
- 6.1.3 the external examiner should be prepared to work within the context of a credit-based, modular system including a two-tiered assessment process;
- 6.1.4 in order to provide sufficient time for the effective performance of their duties external examiners should not normally hold concurrently more than two substantial external examiner appointments for taught courses (including their Anglia Ruskin appointment(s)). In seeking approval for any exception to this principle the Faculty is required to provide an assurance from the nominee that there would be no adverse effect on the nominee's proposed Anglia Ruskin duties;
- 6.1.5 former members of staff may not be appointed as external examiners before a period of five years has lapsed or there has been sufficient time for any students taught by that staff member to have graduated, whichever is the longer;
- 6.1.6 nominees who have retired (or retire during their period of appointment) should indicate how they have maintained (or will maintain) their expertise and familiarity with current practice in their subject;

- 6.1.7 no more than one external examiner from the same institution is appointed to the same DAP or the Awards Board (or agreed combination of these) at Anglia Ruskin University. From time to time changes to Anglia Ruskin's academic organisation and curriculum management structures, and the consequential re-alignment of external examiner duties to reflect such changes, may result in a number of external examiners from the same institution holding appointments on the same DAP for a short period. In such cases, the overlapping membership is addressed when replacement external examiners are appointed;
- 6.1.8 an external examiner is not appointed from a department or unit in an institution where an Anglia Ruskin staff member in the subject concerned is also serving as an external examiner (the avoidance of such reciprocity applies equally to Anglia Ruskin and its Associate Colleges);
- 6.1.9 a period of three years lapses before an external examiner is replaced by another member from the same institution in the same subject area. An exception to this principle may be made where a specialist subject is taught in only a very small number of higher education institutions, for which a special case should be made on an individual basis;
- 6.1.10 external examiners who have completed their period of appointment may not be re-appointed as an external examiner to the same or a related subject area at Anglia Ruskin until five years have lapsed;
- 6.1.11 persons from outside higher education (e.g. from business, industry or the professions) may be appointed as external examiners. However in such cases the DAP shall have at least one external examiner from higher education who is able to compare Anglia Ruskin's academic standards with those of other higher education institutions;
- 6.1.12 an external examiner has not had, within the five years prior to appointment, any formal links with staff, students or taught academic courses at Anglia Ruskin University or its Associate Colleges, unless exceptional circumstances apply. In such cases the links should be declared at the nomination stage.
- 6.2 It should be noted that the Senate has the authority to terminate the appointment of an external examiner for negligence or misconduct, including failure to submit a suitable written annual report by the due date (see paragraphs 8.1 and 8.10 below of this Code of Practice).

7. Preparation of External Examiners

- 7.1 External examiners are sent a briefing pack with their formal letter of appointment which includes:
- information about Anglia Ruskin University;
 - Anglia Ruskin's *Academic Regulations*;
 - the *Senate Codes of Practice on the Assessment of Students and External Examiners for Taught Courses*.

Any subsequent revisions to the *Academic Regulations* and/or Senate Codes of Practice are highlighted annually by the Academic Office to external examiners throughout their period of office.

7.2 All newly appointed Anglia Ruskin external examiners are invited to an institutional External Examiner Induction Programme, organised by the Academic Office. The Induction Programme is delivered in May and November of each calendar year and includes:

- introduction to Anglia Ruskin University with brief details of its Mission, Values and Corporate Plan and student profile;
- details of Anglia Ruskin's academic, organisational and curriculum management structures, including a definition of terms;
- the two-tiered assessment process;
- the role of the external examiner at Anglia Ruskin;
- briefing on key extracts from the *Academic Regulations*;
- details of Anglia Ruskin quality assurance processes, particularly with regard to the assessment process;
- information on the external examiner's annual report: due date, standard format, content and process for internal consideration and response;
- expenses claims.

The Programme also includes an opportunity to meet with key Faculty staff. Faculties and the Academic Office reimburse any reasonable travel and other subsistence expenses for attendance at the Institutional Induction Programme by DAP and Awards Board external examiners respectively. No fee is paid to the external examiner for attendance.

7.3 The appropriate Faculty is responsible for continuing contact with DAP external examiners, including any further briefing about the curriculum for the subject area and/or course to which he/she has been appointed and the associated assessment processes and procedures. Material to be provided by the Faculty includes:

- Course Handbooks;
- Module Definition Forms (MDFs) for the modules to be moderated;
- Student Module Guides for the modules to be moderated.

7.4 The Anglia Ruskin Briefing Pack and Institutional Induction Programme are supplemented at Faculty level for DAP external examiners by a local briefing and, where appropriate, a local induction programme. It is the responsibility of the Head of Department to:

- identify the nature of the local induction programme required by the external examiner if they have no previous external examining experience in higher education (or other comparable experience). Any local induction programme is formulated in line with the appointment criteria set out in paragraph 6.1 above of this Senate Code of Practice and complements the information provided in the Institutional Induction Programme. It also provides more specific information about Faculty operations;
- after detailed discussion with the proposed external examiner, obtain approval for the local induction programme from the Dean of the Faculty officer in view of the likely resource implications;

- monitor the effectiveness of the local induction programme, identifying any additional support or guidance from the Faculty which may be required by the external examiner.
- 7.5 The local briefing and induction programme should be tailored to the specific and identified needs of an incoming external examiner. It is co-ordinated and conducted by the Head of Department and may involve the Dean of the Faculty and other appropriate colleagues and should provide an opportunity to:
- describe the structure, content and organisation of the curriculum which the External Examiner will be serving;
 - provide further information on Anglia Ruskin's quality assurance policies and procedures.
- 7.6 The following topics should routinely be covered in the local briefing and induction programme provided by an Anglia Ruskin Faculty for a new external examiner:
- relevant documentation e.g. course handbooks, Course Specification Forms, a list of modules within the Department, MDFs/module guides (including assessment methods and assessment criteria);
 - the local implementation of quality assurance policies and procedures: internal and external moderation processes, feedback to students on assessed work, student evaluation mechanisms and processes for reporting action in response, annual monitoring, the articulation of Anglia Ruskin procedures;
 - the local consideration of the external examiner's annual report: due date, standard format, content and process for internal consideration and response. Any enhancement of standard processes that the Faculty operates should be explained;
 - local administrative processes: timetable for preparing assessment tasks, dates of meetings, Faculty contact person.
- 7.7 External examiners are invited in their annual written report to comment on the induction process and to identify good practice and/or areas for improvement.
- 7.8 Where appropriate a Faculty may also wish to provide an incoming external examiner with the opportunity to:
- communicate with the departing external examiner by telephone or e-mail, if not in person;
 - attend a DAP as an observer.
- Before an external examiner attends a local induction programme the Faculty should make clear that it is able to pay only travel and subsistence expenses for the visit.
- 7.9 The Deputy Vice-Chancellor (Academic), on behalf of the Senate, reserves the right to specify a particular induction programme and/or level of support and guidance from a Faculty in cases where it is considered necessary. Approval of a proposed external examiner may be conditional upon such provision.
- 7.10 The Academic Office is responsible for all continuing contact with Awards Board external examiners.

7.11 The Academic Office is responsible for formally communicating with the external examiner at the beginning and end of their period of appointment and for acknowledging Anglia Ruskin's receipt of their annual written report. However, there may be occasions, during his/her period of office, when other formal communication is made to external examiners via the Academic Office. In addition, external examiners are always able to contact the QAU for advice and guidance via the dedicated e-mail account set up exclusively for external examiners (***external.examiner@anglia.ac.uk***).

8. Annual Written Reports

8.1 External examiners are required to submit by the end of the second week of September of each year a written annual report for each Anglia Ruskin duty for which they have been appointed. The reports follow a prescribed template and are submitted directly to the Academic Office which is responsible for ensuring that they are formally considered by the Dean and teaching staff of the appropriate Faculty (for DAP external examiners).

8.2 An external examiner may, in addition, send a separate confidential report to the Vice-Chancellor if he/she exceptionally considers it to be appropriate.

8.3 Since there are differences in the role and responsibilities of external examiners for DAPs and the Awards Board, separate report proformas for the written reports are used. The report templates are updated annually by the Academic Office.

8.4 The Academic Office writes to all external examiners in May of each year to remind them of their responsibility to submit an annual report. Electronic versions are made available via the dedicated Anglia Ruskin External Examiners webpages at ***www.anglia.ac.uk/externalexaminer*** and also on request via the dedicated e-mail account for external examiners (***external.examiner@anglia.ac.uk***).

8.5 The external examiner report templates ask external examiners to comment on the level of service received from Anglia Ruskin. An analysis of these responses is considered each year by the Academic Office and relevant outcomes reported to the Senate, as appropriate.

8.6 The annual written report for a DAP covers the following topics:

(a) Academic standards

[NB: external examiners base their judgements on those modules whose assessment outcomes they have moderated]

8.6.1 whether the aims and intended learning outcomes for individual modules have been clearly defined, made explicit to students in a published document, and been achieved by students who have successfully completed them;

8.6.2 whether the academic standards set are appropriate for the level of the modules under consideration by the DAP;

[NB: external examiners should draw on appropriate external reference points, including those published by PSRBs and subject benchmark statements published by the QAA, when evaluating whether the academic standards set are appropriate for the level of modules under consideration]

8.6.3 student performance and achievement in relation to their peers on comparable modules (or equivalent learning) at other UK higher education institutions.

(b) The curriculum

[NB: external examiners should base their judgements on those modules whose assessment outcomes they have moderated]

8.6.4 the continuing currency and validity of the curriculum in the light of developing knowledge in the subject and practice in its application;

8.6.5 curriculum design, content and organisation;

8.6.6 curriculum delivery and the quality of teaching and learning methods as reflected in student performance.

(c) Assessment

[NB: external examiners should base their judgements on those modules whose assessment outcomes they have moderated]

8.6.7 the profile of student marks across the modules sampled;

8.6.8 assessment criteria and marking standards;

8.6.9 the assessment methods used and their contribution to student achievement of module aims and intended learning outcomes;

8.6.10 the nature, extent and usefulness of the written feedback to students on their assessed work (assignments, laboratory work/practicals, artefacts etc.).

(d) Assessment procedures

8.6.11 sensitivity and fairness in relation to student performance on modules;

8.6.12 the conduct of DAPs, including consistency in decision making and the accuracy of papers and marksheets for meetings;

8.6.13 administrative arrangements for the provision of information/material to external examiners.

(e) Professional practice or placement

8.6.14 student performance and achievement of intended learning outcomes on any modules embracing work-based learning, professional practice or placement;

8.6.15 the organisation and delivery of such activities within the curriculum.

- (f) General issues of interest or concern relating to curriculum structure, content, delivery or assessment
- 8.6.16 any examples of good practice in teaching, learning and assessment which could usefully be disseminated within Anglia Ruskin;
- [Anglia Ruskin University defines good practice as a method, strategy, system, procedure or process, which has, over an appropriate period of time, resulted in improved academic standards, an enhanced quality of education and/or an improved level of service to stakeholders (e.g. students, staff, external examiners, associate colleges, employers.) and which can, when appropriately adapted, be implemented in other areas of the institution. Such good practice can be evidenced in a variety of ways. Examples include student performance, statistical information, feedback from stakeholders (e.g. via questionnaires, Courses Management Committee meetings, Employer Liaison Panel meetings etc.).]*
- 8.6.17 any commendable achievements and/or outcomes that should be highlighted to a wider audience;
- 8.6.18 any areas for improvement which should be addressed by the teaching team and/or Faculty;
- 8.6.19 any aspects where Anglia Ruskin's academic standards are currently at risk (any issues highlighted in this category are formally reported to the Senate and require a specific response to the Senate by the appropriate Faculty).
- 8.7 The annual written report for the Awards Board covers the following topics:
- (a) Assessment procedures
- 8.7.1 sensitivity and fairness in relation to students' awards;
- 8.7.2 the conduct of the Awards Board, including consistency in decision making and the accuracy of papers and marksheets for meetings;
- 8.7.3 administrative arrangements for the provision of information/material to external examiners.
- (b) Determination of awards
- 8.7.4 the regulations and procedures governing the determination of those awards under consideration by the Awards Board and their comparability with those of similar awards at other UK higher education institutions.
- (c) General issues of interest or concern relating to assessment procedures and the determination of awards including the overall assessment scheme
- 8.7.5 any examples of good practice which could usefully be disseminated within Anglia Ruskin;
- 8.7.6 any commendable achievements and/or outcomes that should be highlighted to a wider audience

- 8.7.7 any areas for improvement which should be addressed
- 8.7.8 any aspects where Anglia Ruskin's academic standards are currently at risk (any issues highlighted in this category are formally reported to the Senate and require a specific response to the Senate by the Director of the Academic Office).
- 8.8 The annual written reports submitted by external examiners where the functions of a DAP and the Awards Board have been exceptionally combined into a single Assessment Board (or equivalent body) cover all the topics identified in paragraphs 8.6 and 8.7 above (this occurs for courses which do not have a modular structure).
- 8.9 The payment of annual fees and expenses is conditional on receipt of the written annual report.
- 8.10 If an external examiner's written annual report has not been received by 31 October, the Academic Office formally writes to the external examiner, drawing attention to this matter and advising him/her that, if the report is not received by 30 November (i.e. within a further month), his/her appointment will be terminated with immediate effect by Anglia Ruskin University in accordance with paragraph 6.2 above.
- 8.11 A summary of the processes within Anglia Ruskin University for considering external examiner reports is provided by the Academic Office [see **Appendix 3**].

9. Receipt of, and Response to, External Examiners' Reports

- 9.1 The Academic Office formally acknowledges Anglia Ruskin University's receipt of an external examiner's report and sends a copy to the Deputy Vice-Chancellor (Academic), Director of the Academic Office, Dean of Faculty, Deputy Dean of Faculty (with responsibility for quality assurance), Head of Department⁵ and Director of Studies⁶, as appropriate. It is the responsibility of the Head of Department to distribute these to relevant colleagues at Associate Colleges.
- 9.2 DAP reports are formally considered by the Dean of the Faculty and relevant teaching staff and appropriate action is taken by the Faculty in response to any particular issues raised in the report.
- 9.3 Awards Board reports are formally considered by the Director of the Academic Office and appropriate action is taken in response to any particular issues raised in the report.
- 9.4 The report and any action taken in response are also considered in the annual monitoring process undertaken under the auspices of the Senate (or a designated committee acting on behalf of the Senate).

⁵ only for External Examiner reports for DAPs

⁶ only for External Examiner reports for the Awards Board

9.5 All external examiner reports are published for staff and students on My.Anglia at **www.anglia.ac.uk/eeinfo**. The Academic Office exercises its discretion to edit published reports to remove any text which identifies individual students or staff by name. Full unedited reports are provided to the Deputy Vice-Chancellor (Academic), Dean of Faculty, Deputy Dean of Faculty and Head of Department, as necessary.

10. Feedback to External Examiners on their Reports

10.1 Meetings of the DAP are used to provide an immediate opportunity for discussion with the appropriate external examiner(s) of any issues or recommendations arising from the recent delivery and assessment of modules within the Department and for action to be taken in response, where appropriate.

10.2 In addition the Head of Department is responsible, on behalf of the Dean of the Faculty, for advising each DAP external examiner by a formal written letter, of action taken, where appropriate, in response to any issues or recommendations identified in his/her written report. This is done within two months of Anglia Ruskin's receipt of the report. An e-mail is not acceptable as a formal response to an external examiner's annual report. Where a particular issue requires further discussion by the Senate or another institution-wide body, the external examiner is informed of this action and receives a further update when available.

10.3 The Head of Department ensures that the appropriate Dean of Faculty, Deputy Dean of Faculty (with responsibility for quality assurance) and the Academic Office receive a copy of the written response to the external examiner's report.

10.4 The Director of the Academic Office is responsible on behalf of the Deputy Vice-Chancellor (Academic) for advising each Awards Board external examiner by a formal written letter, of action taken, where appropriate, in response to any issues or recommendations identified in his/her written report. This is done within two months of Anglia Ruskin's receipt of the report. An e-mail is not acceptable as a formal response to an external examiner's annual report. Where a particular issue requires further discussion by the Senate or another institution-wide body, the external examiner is informed of this action and receives a further update when available.

10.5 In January of each year all DAP external examiners receive, for information, from the Head of Department a copy of the relevant Departmental annual monitoring report(s) which contain(s) details of planned actions in response to all external examiners' reports submitted to the Department and other relevant information about the continued development of modules and courses for which the Department is responsible.

10.6 Written responses to external examiners are also published for staff and students on My.Anglia at **www.anglia.ac.uk/eeinfo**.

11. Fees

- 11.1 Faculties are responsible for paying DAP external examiners' fees and travel and subsistence expenses. The Academic Office undertakes this responsibility for Awards Board external examiners [see **Appendix 4** for *Anglia Ruskin's Guidance on External Examiner fees and the submission of Expenses Claims*].
- 11.2 External examiners are required to submit to the Academic Office an annual claim for their fee using an External Examiner claim form. The Academic Office is responsible for checking whether the external examiner has submitted an annual written report and, if so, for authorising payment of the fee (see paragraph 8.9 above).
- 11.3 A minimum annual fee is paid to for appointment as an external examiner. Faculties have the discretion to set a higher level of the annual fee per duty for external examiners at the nomination stage. *[A duty is defined as an appointment to one DAP or the Awards Board. An external examiner who is appointed to both a DAP and the Awards Board is therefore performing two duties. He/she will be required to complete two annual reports, one for each duty, and will receive a separate fee for each duty].*
- 11.4 External examiners may also submit to the Academic Office claims for travel expenses and other interim payments. The claim is recorded by the Academic Office before it is processed for payment (where appropriate).

APPENDICES

ANGLIA RUSKIN UNIVERSITY***Guidance on Workloads for Tier 1 External Examiners***

[APPROVED BY THE ACADEMIC STANDARDS, QUALITY & REGULATIONS COMMITTEE – MARCH 2008]

1. Introduction

1.1 In addition to the submission of an annual written report, the main work of a tier 1 - Departmental Assessment Panel (DAP) - external examiner is the moderation of assessed student work. In order to determine an external examiner's workload for the minimum annual fee, it is necessary to calculate the amount of moderation that is required to be undertaken by an external examiner.

1.2 The following factors influence the amount of moderation required:

- Credit rating of the module;
- The typical number of students enrolled for a module in any one cohort;
- The number of times (occurrences) per academic year in which a module is delivered.

2. Module Moderation Equivalences

2.1 The easiest way to express the workload of the tier 1 external examiner is by the use of *module moderation equivalences* where the above factors are used to reach a number for each module which is based on the lowest common denominator at Anglia Ruskin; a 15 credit module, delivered once a year to 80 students or fewer (80 is selected because this is the point at which a higher number of students results in an increase in the size of the sample of assessed work that requires external moderation, in accordance with the Senate Codes of Practice on the *Assessment of Students and External Examiners for Taught Courses*).

2.2 To this end a *module moderation equivalence* calculator has been developed to determine the moderation equivalence for every module and is attached to this paper.

2.3 The Head of Department is responsible for determining his/her Department's *module moderation equivalence*. Once this has been calculated for all its modules (a separate number for each individual module), the sum for all modules expresses the total amount of assessed student work that needs to be moderated as an equivalent of 15 credit modules, delivered once a year to 80 students or fewer.

2.4 Consultation with other higher education institutions which operate a modular schemes similar to Anglia Ruskin's, suggests that an Anglia Ruskin *module moderation equivalence* of **20** is the norm for an external examiner's annual workload. Consequently, in order for a Department to determine exactly how many external examiners it should appoint to its DAP, the total of *module moderation equivalences* is simply divided by 20.

Appendix 1

3. Examples

[Please refer to diagram, attached to this paper, for assistance]

- 3.1 A 15 credit module with an average cohort size of 60 students delivered only once in an academic year has a *module moderation equivalence* of 1.

$$\begin{array}{rcl} \text{Calculation: } 1 & \times & 1 \text{ (as module size is 15 credits)} & = & 1 \\ & & 1 \times 1 \text{ (as cohort size is less than 80)} & = & 1 \\ & & 1 \times 1 \text{ (as delivered only once in an academic year)} & = & \mathbf{1} \end{array}$$

- 3.2 A 30 credit module with an average cohort size of 30 delivered twice in an academic year has a *module moderation equivalence* of 4.

$$\begin{array}{rcl} \text{Calculation: } 1 & \times & 2 \text{ (as module size is 30 credits)} & = & 2 \\ & & 2 \times 1 \text{ (as cohort size is less than 80)} & = & 2 \\ & & 2 \times 2 \text{ (as delivered twice in an academic year)} & = & \mathbf{4} \end{array}$$

- 3.3 A 45 credit module with an average cohort size of 120 (this includes students at all locations of delivery) delivered twice in an academic year has a *module moderation equivalence* of 12.

$$\begin{array}{rcl} \text{Calculation: } 1 & \times & 3 \text{ (as module size is 45 credits)} & = & 3 \\ & & 3 \times 2 \text{ (as cohort size is between 81 and 160)} & = & 6 \\ & & 6 \times 2 \text{ (as delivered twice in an academic year)} & = & \mathbf{12} \end{array}$$

- 3.4 A 60 credit module with an average cohort size of 40 delivered once in an academic year (albeit over two semesters) has a *module moderation equivalence* of 4.

$$\begin{array}{rcl} \text{Calculation: } 1 & \times & 4 \text{ (as module size is 60 credits)} & = & 4 \\ & & 4 \times 1 \text{ (as cohort size is less than 80)} & = & 4 \\ & & 4 \times 1 \text{ (as delivered once in an academic year)} & = & \mathbf{4} \end{array}$$

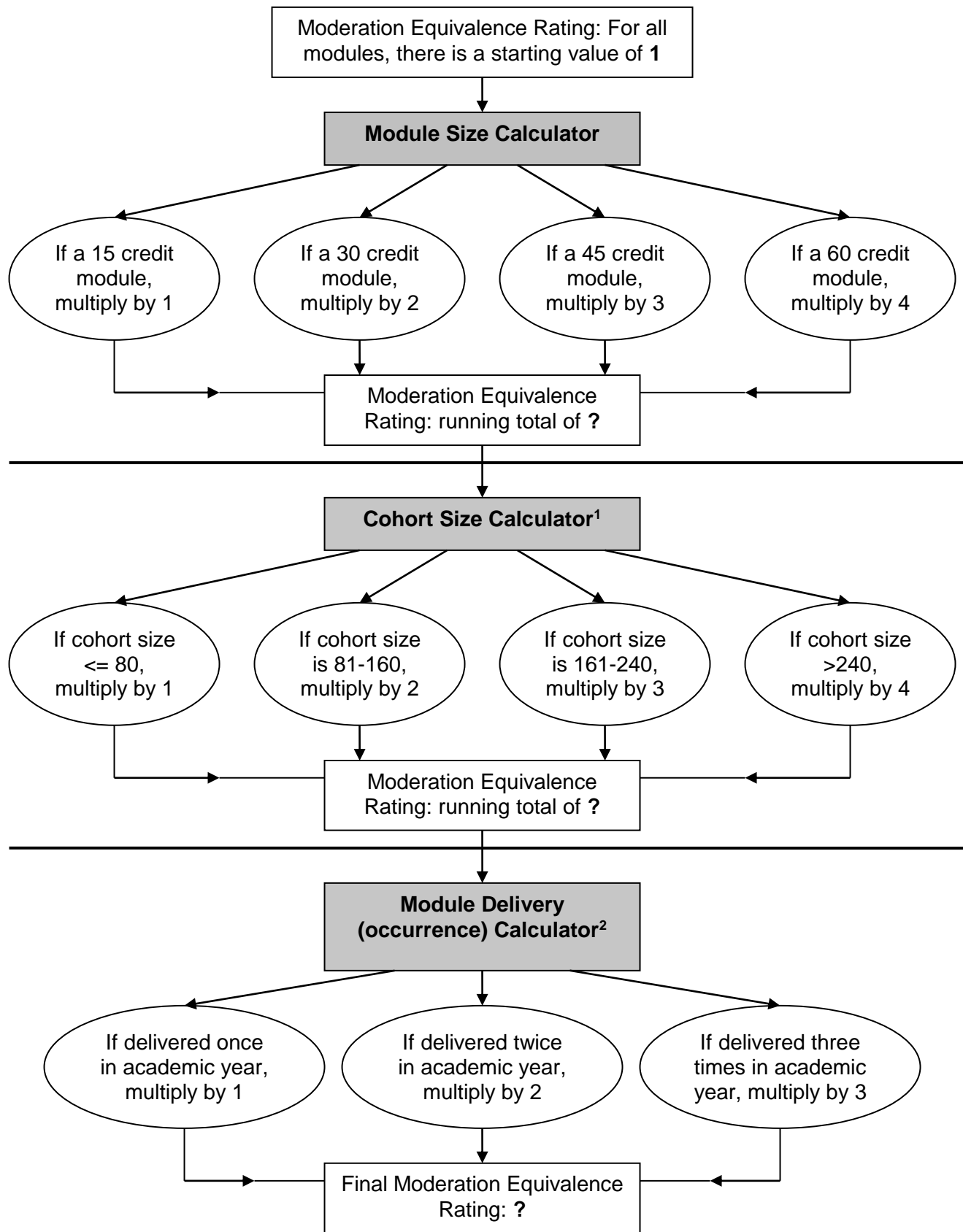
- 3.5 In the above examples, these four modules have produced a *module moderation equivalence* of 21 (1 + 4 + 12 + 4). Using the figure of 20 as a standard annual workload for a tier 1 external examiner, detailed in paragraph 2.4 above, the above four modules would be deemed as a normal workload for one external examiner.

- 3.6 Therefore, it follows that a department with a *module moderation equivalence* of 90 would expect to appoint 5 external examiners to its DAP (90 divided by 20 = 4.5); A department with a *module moderation equivalence* of 27 would expect to appoint 2 external examiners to its DAP (27 divided by 20 = 1.35).

4. Conclusions and Further Guidance

- 4.1 This system is designed to be used as guidance by faculties when appointing external examiners and determining annual tier 1 external examiner workloads and is based on the minimum standard fee.
- 4.2 Faculties are permitted to propose a higher fee at the nomination stage and this may require (by agreement) such external examiners to undertake more work than the standard norm articulated in this guidance paper.
- 4.3 It is important to note that there may be local factors, known to an individual Head of Department (and other senior colleagues involved in curriculum management roles), which would impact on the above stated *module moderation equivalences* (eg: the requirements with regard to external examiners of Professional, Statutory & Regulatory Bodies). Therefore, such factors need to be taken into account by the Head of Department.
- 4.4 For further guidance, please contact the Quality Assurance Unit of the Academic Office.

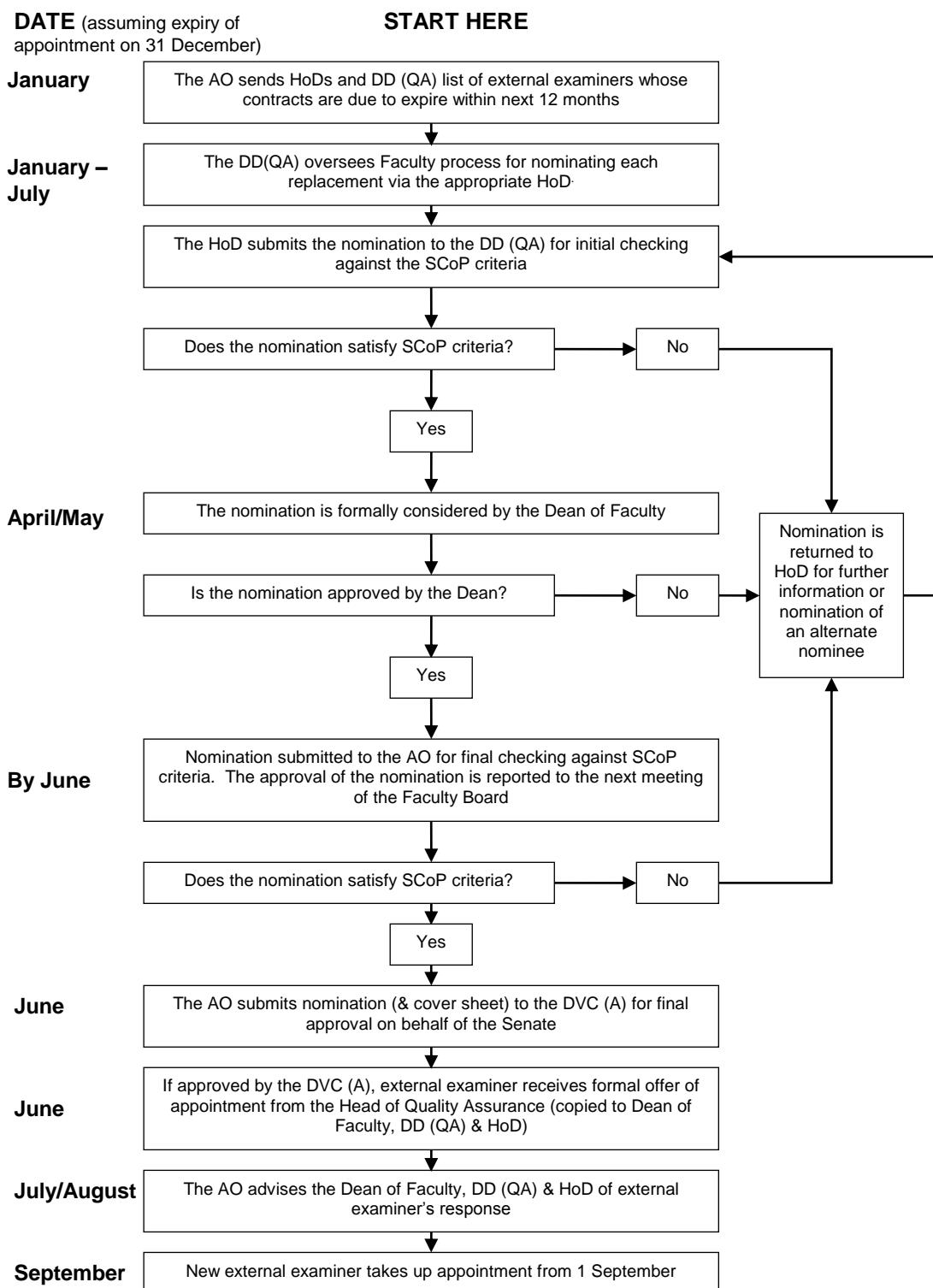
Calculating a Module's Moderation Equivalence



¹ includes all students enrolled for module at Associate Colleges

² number of times (semesters/trimesters/whole year) per academic year in which the module is delivered

Flowchart for the Appointment of a New Tier 1 (DAP) External Examiner



Key to acronyms

AO: Academic Office
 DD (QA): Deputy Dean of Faculty with responsibility for quality assurance
 HoD: Head of Department
 SCoP: Senate Code of Practice on External Examiners for Taught Courses
 DVC (A): Deputy Vice-Chancellor (Academic)

Anglia Ruskin University

Summary of Processes for Considering External Examiners' Reports

Issue	Process	Responsible Committee
Main written responses to External Examiners within two months of receipt	Head of Department responsible for responses to DAP ¹ and Non-Modular external examiners; and Director of Academic Office responsible for responses to AB ² external examiners.	FQESS ³ (for DAPs ¹) and Quality, Enhancement & Standards Committee (for AB ²)
Examples of good and innovative practice (as identified by external examiners in annual reports)	Considered through Annual Monitoring process	FQESS ³ (for DAPs ¹) and Quality, Enhancement & Standards Committee (for AB ²)
Commendable achievements (as identified by external examiners in annual reports)		
Areas for improvement or enhancement (as identified by external examiners in annual reports)		
General Faculty level issues (identified from within main body of report)		
General institutional level issues (identified from within main body of report)	Monitored by Academic Office for the attention of the Deputy Vice-Chancellor (Academic)	Quality, Enhancement & Standards Committee
Responses to service standards section of annual report		
Head of QA provides an overview report to the Senate which identifies themes from all external examiner reports and explicitly highlights any academic standards at risk (as identified by external examiners) together with the associated response	Prepared by Head of Quality Assurance and submitted to the November meeting of the Senate (circulated to faculties in early November for information)	Senate

¹ DAP: Departmental Assessment Panel

² AB: Awards Board

³ FQESS: Faculty Quality, Enhancement & Standards Subcommittee

ANGLIA RUSKIN UNIVERSITY

ACADEMIC OFFICE

Guidance on External Examiner Fees and the Submission of Expenses Claims

An annual fee is paid to External Examiners on production of an annual written report, which is due in **by the end of the second week of September of each year**. External Examiners are paid in accordance with the following Anglia Ruskin guidelines:

1. Fees

The Quality, Enhancement & Standards Committee (QESC) sets the minimum basic annual fee for all external examiner duties for the following academic year at the final meeting of each academic year. The fee includes attendance at a minimum of one Departmental Assessment Panel (DAP) or Awards Board meeting per year and the submission of an annual report.

2. Additional Fees

Exceptional further payments in respect of visits or meetings additional to the DAPs may also be payable at the discretion of the Dean of Faculty. However, should these payments be necessary on a regular basis, an increased annual fee is agreed by the Faculty and the Academic Office notified in order for a revised letter of appointment to be issued to the external examiner.

3. Professional, Statutory and Regulatory Bodies (PSRBs)

If the external examiner is appointed on behalf of Edexcel and/or a PSRB, Anglia Ruskin pays the external examiner for this work also on the same basis as paragraph 1 above.

4. Expenses

In addition to an annual fee, Anglia Ruskin reimburses reasonable expenses on the following basis:-

- (i) Second Class rail fares or mileage at the rate of 45p per mile.
- (ii) Subsistence en route.
- (iii) If necessary, and given prior notice, appropriate overnight hotel accommodation is arranged by the Faculty Administrator in advance of the external examiner's visit, and the hotel is asked to invoice Anglia Ruskin direct. However, Anglia Ruskin is not responsible for incidental personal expenses (e.g. newspapers and telephone calls). Any such expenses are settled by the external examiner prior to leaving the hotel.
- (iv) Claims for expenses may be submitted as soon as they are incurred (i.e. after attendance at a formal meeting or additional visit).

Appendix 4

5. Submission of claims

Claims for fees and expenses should be made on an External Examiner claim form, which can be obtained from the Academic Office. Following the Semester 1 DAP/Awards Board meetings, which take place in January or February each year, claims for expenses only may be made on a claim form and submitted direct to the Academic Office. However, following the Semester 2 DAP/Awards Board meetings, which take place in June or July each year, a claim for both the annual fee and expenses (which may include any outstanding unclaimed expenses incurred with regard to the Semester 1 period) are made on a claim form which is submitted to the Academic Office, together with the external examiner's annual report(s).

When completing the claim form:

- (i) please complete the personal details in **Section A: Information about you** including date of birth and email address,
- (ii) if self-employed, or tax or national insurance is not paid for any reason, please contact Anglia Ruskin (tel: 0845 271 3333), as soon as possible before making a claim. There are special procedures which apply to any such claims;
- (iii) in **Section B: Details to make a payment**, please complete your national insurance number, your bank details and the Faculty/Department to which you are associated. You will not need to indicate a payroll number on your first claim. Please note, however, that you will be allocated a payroll number upon your first payment and should enter this number on any subsequent claim forms. Delays in payment may occur if the payroll number has not been entered;
- (iv) in **Section C: Fee**, please enter details of the annual external examiner report, date submitted and fee due;
- (v) in **Section D: Expenses**, record any expenses and/or subsistence claims you wish to make;
- (vi) in **Section E: Declaration**, please sign the form,
- (vii) please retain a copy of the claim form for reference.

The Academic Office acknowledges receipt of external examiners' reports and claims for fees and expenses. The claims will then be coded to the appropriate Department budget before being submitted for payment as soon as possible.



Anglia Ruskin
University

Additional copies of the Senate Code of Practice on
External Examiners for Taught Courses are available from:

Director of the Academic Office
Anglia Ruskin University
Bishop Hall Lane
Chelmsford
CM1 1SQ

Tel: 0845 196 4931

www.anglia.ac.uk/codes